Federal Public Key Infrastructure Policy Authority (FPKIPA)
Minutes of the 9 December 2003 Meeting
1800 F Street, Room 5141A, Washington, DC

A. AGENDA
1) Introductions
2) Vote on Approval of Meeting Minutes
3) Status of Email Votes Since Last FPKIPA Meeting
4) Federal Identity Credentialing Committee (FICC) Report
5) FPKI Certificate Policy Working Group (FPKI CPWG) Report
6) FBCA Operational Authority (FBCA OA) Report
7) Other Topics
8) Next Meeting/Meeting Adjourned

B. VOTING MEMBER ATTENDANCE LIST
1) Department of the Treasury – Michelle Moldenhauer
2) Department of Commerce – Proxy by Tim Polk, NIST
3) Department of Justice – Proxy by Marty Burkhouse
4) Department of Defense – Proxy by Dave Hanko
5) General Services Administration – Proxy by John Cornell
6) Office of Management & Budget – Absent
7) National Aeronautics and Space Administration – Tice DeYoung
8) National Finance Center – Kathy Sharp

C. MEETING ACTIVITY

Agenda Items 1 & 2

Introductions / Vote on Approval of Meeting Minutes:
Ms. Michelle Moldenhauer Chair of the FPKIPA, opened the meeting at 0945 with attendee introductions. Regarding the 18 November FPKIPA meeting minutes, Mr. Mark Lentz didn't receive any feedback prior to the meeting and GSA recommended some corrections during this meeting. The meeting minutes were unanimously approved per the following vote record:

Approval vote for 18 November 2003 Meeting Minutes			
Voting members	**Vote (Motion – Treasury; 2nd – DoD)**		
	Yes	**No**	**Abstain**
Dept of the Treasury	X		
Dept of Commerce	X		
Dept of Justice	X		
Dept of Defense	X		
GSA	X		
OMB (proxy by FPKIPA Chair)	X		
NASA	X		
NFC	X		

Agenda Item 3

Status of Email Votes Since Last FPKIPA Meeting
This is the first meeting that features this agenda item. It was proposed as a regular agenda item, during the 18 November 2003, since we are processing more voting issues via email and the working group should be informed of the results of the email voting process.

For this particular meeting there were no email votes conducted between the 18 November and 9 December FPKIPA meetings, so there was no information to report.

Agenda Item 4

Federal Identity Credentialing Committee (FICC) Report:
Ms. Judith Spencer, Federal Identity Credentialing Committee (FICC), started this report by mentioning that the next FICC meeting will be held on 18 December at 10:00am in the Board room at the American Institutes of Architecture (AIA) building in Washington, DC.

She said that based on recent reports from the FICC subgroups, there is a lot of progress being made in the Smart Card and PKI subgroups of the FICC.

Following up on the Smart Card procurement information shared at the 18 November FPKIPA meeting, it looks promising that an aggregate buy of Smart Cards for FICC use should occur in January 2004.

The PKI Shared Service Provider Working Group is progressing well on a number of items. They have enlisted some Booz Allen Hamilton personnel to develop a tabular matrix similar to the FPKI CPWG mapping matrix for conducting CPS compliance analysis with the Common Policy. Policy work in this working group is progressing well. An Acquisition Plan has been suggested as necessary and may translate into a major obstacle to progress in this working group.

In the Smart Card Working Group the policy, data set, and topology subgroups have completed all their recent actions. In addition, the 3QFY04 deadlines should be met.

Agenda Item 5

FPKI Certificate Policy Working Group (FPKI CPWG) Report:
Mr. Tim Polk provided status information on the following topics:

Department of State (DoS) – the only outstanding item keeping the FPKIPA from voting on cross certification of DoS is the CPWG approval of the Compliance Audit report on the DoS Certification Authority (CA). The only item of contention in the Compliance Audit report is the way that the auditors interpreted the assignment of Trusted Agents in the DoS CP. The CPWG has not approved this Compliance Audit report. Mr. Polk will have the DoS Compliance Audit report redistributed to the CPWG members for review and to see if they are satisfied as it

currently stands and if it can be recommended to the FPKIPA to facilitate the FPKIPA approval vote in January 2004 on the CP mapping and cross certification of DoS. If the CPWG can approve and recommend the DoS Compliance Audit approval to the FPKIPA before the end of December 2003, an email vote for FPKIPA approval of the DoS CP mapping and cross certification is feasible before the 13 January 2004 FPKIPA meeting. To prepare for this email vote possibility, Mr. Polk made the motion for an email vote and that was seconded by Mr. Dave Hanko, DoD.

ACTION (071): IATAC will distribute the DoS Compliance Audit Report information to and solicit any remaining comments from the CPWG before the DoS CP and the DoS PKI is recommended for FPKIPA approval for cross certification at the High level of assurance.

Common Policy – Tim has been concentrating his work recently on completing the next iteration of this document and should submit it to the FICC by 10 December.

Upcoming Mapping Reviews – The next mapping tables to discuss at upcoming CPWG meetings will be the ECA CP and the FDIC CP. The ECA CP mapping is still in progress at IATAC but should be done by early January 2004. The FDIC is scheduled to undergo a compliance audit in March 2004, so it would be timely to have the mapping done by then.

FBCA CP Reformatting Work – The effort to reformat the FBCA CP in compliance with RFC 3467 will resume at a CPWG meeting in January 2004.

CPWG Meeting Schedule – Tim will coordinate a meeting schedule with IATAC for the next several CPWG meetings and inform the CPWG via the mail list.

Ms. Spencer provided the following information on aspiring cross certification members:

Patent & Trademark Office (PTO) – She met with them recently and learned that they have purchased Smart Cards for testing and proof-of-concept efforts. The have established an internal PKI. They are in the process of writing their CP at the Basic level of assurance, since they implement multi-use keys, which is a practice with less security than single-use keys. Their schedule is to submit their application and CP to the FBCA for cross certification in mid-February 2004 and to strive for completing the cross certification process with the FBCA by 1 April 2004. The contractors supporting the PTO efforts are General Dynamics and Booz Allen Hamilton.

Alcohol, Tobacco, and Firearms (ATF) – As a result of the Department of Homeland Security (DHS) realignment after 9/11, the ATF is now part of the Department of Justice. Someone in ATF contacted Mr. Polk recently about cross certification with the FBCA. The ATF PKI was never operational while they were part of the Department of the Treasury. So, it appears they are just getting started in establishing a PKI and pursuing cross certification with the FBCA. The contractor supporting the ATF efforts is Maden Technology.

U.S Trade Representative for the Australians – They submitted an application for mutual recognition, emphasizing the desire for a free trade agreement. They are trying to leverage our

prior review of their GateKeyper CA product CP for moving forward with review of their latest CP. There will be a meeting overseas in March 2004 with the Australians that Ms. Spencer would like to be ready to take a mapping matrix to them to move toward further progress with the Australians.

Canada – Ms. Spencer is still looking for a cross certification member that can work with the Canadians to demonstrate applications that recognize each other's cross certificate from the FBCA. NASA took an action at the 18 November FPKIPA meeting **(ACTION (070))** to begin investigating the possibility of working with the Canadian Space Agency, but nothing has materialized on making progress between these two parties.

Agenda Item 6

FBCA Operational Authority (OA) Report:

Status of FBCA Certification & Accreditation (C&A)
Mr. Darron Tate reviewed the status of the FBCA Certification & Accreditation, stating the following highlights:

➢ The FBCA OA is continuing to stabilize the new architecture, to ultimately make the FBCA a Managed Service by 2005.

➢ During recent testing of the Luna CA3 and the Sureware Keyper Hardware Security Module (HSM), the Luna CA3 worked successfully with each of the FBCA CAs but the Sureware Keyper didn't. A migration plan for connecting the Luna CA3 to the CAs in the production FBCA is in progress.

➢ A mini-risk assessment was conducted since the 18 November FPKIPA meeting to address the Operating System upgrade on the Entrust CA system from WindowsNT to the Windows2000. The FBCA OA received a Risk Assessment Report on 8 December and it only identified low-level vulnerabilities. Because this report did not raise any issues or concerns, the installation of the latest Entrust CA and Microsoft CA should be completed by 6 January 2004.

➢ The FBCA OA is scheduling a meeting with the DAA to explain the results of the mini-risk assessment.

➢ A full Certification & Accreditation (C&A) is scheduled for 5 March 2004.

Status of FBCA/Applicant Cross-Certification Technical Testing:
State of Illinois
Technical interoperability testing was successfully completed since the 18 November FPKIPA meeting. Since the technical testing was the last cross certification criteria for the State of Illinois to complete, Ms. Cheryl Jenkins distributed results of the technical testing to the voting members in attendance and requested that a vote for the FPKIPA approval of the technical testing and cross certification.

Below are the voting results:

Approval vote for the State of Illinois for successful technical FBCA interoperability testing			
Voting members	**Vote (Motion – Justice; 2nd – Commerce)**		
	Yes	**No**	**Abstain**
Dept of the Treasury	X		
Dept of Commerce	X		
Dept of Justice	X		
Dept of Defense	X		
GSA	X		
OMB (Proxy by FPKIPA Chair)	X		
NASA	X		
NFC			X

Approval vote for State of Illinois for cross certification at the Medium level of assurance from the FPKIPA Chair to the FBCA OA Program Manager			
Voting members	**Vote (Motion – Treasury; 2nd – Justice)**		
	Yes	**No**	**Abstain**
Dept of the Treasury	X		
Dept of Commerce	X		
Dept of Justice	X		
Dept of Defense	X		
GSA	X		
OMB (proxy by FPKIPA Chair)	X		
NASA	X		
NFC	X		

Government of Canada

No progress has been made regarding ACTION ITEM #70, so the FBCA is still looking for a cross certified member organization to work with a Canadian agency to coordinate an interactive application prior to approving the Government of Canada for cross certification.

FPKI Architecture

Ms. Jenkins distributed a diagram of the latest FPKI Architecture to the attendees and asked if anyone had any comments. Most of the discussion revolved around if the Assurance Level 1 and Assurance Level 2 CAs would be issued by the E-Authentication Common Policy Root CA via a 1-way cross-certification or if it would be separated and addressed by the E-Governance Certificate Policy.   The results of the discussion are some updates to the diagram and the need for an email approval by the FPKIPA. The motion for the email vote was given by Ms. Moldenhauer, Treasury and FPKIPA Chair, and seconded by Mr. Marty Burkhouse, Justice.

ACTION (072): Ms Jenkins will update the FPKI Architecture diagram, based on the 9 December 2003 FPKIPA meeting discussion, and distribute it to the FPKIPA voting members for approval via email vote.

Cross-Certification Ceremony

With a couple organizations nearing completion of the cross certification criteria, Ms. Judy Spencer suggested that a cross-certification ceremony should be planned for early February 2004. This ceremony will not be as elaborate as the one held in September 2002 but will probably recognize the State or Illinois (Medium), ACES/DST (Medium), Department of Energy (Medium), and Department of State (High), assuming they all have completed the cross-certification criteria by then. A separate ceremony may be held to recognize the State of Illinois cross certification with the FBCA in conjunction with a technical demonstration related to their PKI.

Status of CA Testing:

ACES/ORC

The FBCA OA should be hearing from ACES/ORC representatives soon about their readiness to participate in testing with the FBCA OA.

Microsoft

Microsoft personnel have been asking technical questions that FBCA OA personnel could not answer. NIST personnel successfully answered the questions at a later date. Because the answers to the questions delayed the start of the work at Microsoft for making their CA product technically compliant with the FBCA, the original 6-month product development period allocated by the FPKIPA approval vote was extended and didn't start until NIST successfully answered Microsoft questions.

Agenda Item 7

Other Topics:

Next Workshop

Ms. Spencer and Mr. Polk said they would like to host another Workshop, similar to the Federal PKI Deployment Workshop held in Crystal City, VA in March 2003. This one will probably be broader in scope beyond Federal PKI, since the Federal PKI Steering Committee was renamed to the Federal Identity Credentialing Committee (FICC) and expanded in scope in the summer of 2003 to include Smart Card and physical security. IATAC will begin planning this Workshop immediately by contacting hotels and venues in Washington, DC for availability and meet with Ms. Spencer and Mr. Polk in early January 2004 to discuss Workshop goals, theme, logo, agenda, speakers, etc.

Agenda Item 8

Next Meeting/Meeting Adjourned:

The next FPKI PA Meeting is scheduled for 13 January 2004 from 09:30-12:30 at the GSA facility located at 1800 F Street, Room 5141B, Washington, DC.

The meeting adjourned at 12:00 noon.

D.   LIST OF ATTENDEES

NAME	Email	Telephone	Organization
Burkhouse, Marty	martin.t.burkhouse@usdoj.gov	202.616.4574	DoJ
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Davis, Russell	rdavis@fdic.gov	703.516.5107	FDIC
DeYoung, Tice	tice.f.deyoung@nasa.gov	703.872.8615	NASA
Dilley, Brian	brian.dilley@evalid8corp.com	443.250.7681	eValid8
Duncan, Steve	stephen.duncan@gsa.gov	202.708.7621	GSA
Faut, Nathan	nfaut@educause.edu	301.335.2656	HEBCA
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Jenkins, Cheryl	cheryl.jenkins@gsa.gov	571.259.9923	GSA/FTS
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Marsh, Georgia	georgiak.marsh@gsa.gov	703.872.8614	GSA
Mitchell, Debbie	dmmitc3@missi.ncsc.mil	410.854.4900	DoD PKI PMO
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Petrick, Brant	brant.petrick@gsa.gov	202.208.4673	FICC
Polk, Tim	tim.polk@nist.gov	301.975.3348	NIST
Russell, Shauna	russells@dodgc.osd.mil	703.614.4960	DoD
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Spencer, Judith	judith.spencer@gsa.gov	202.208.6576	FICC
Tate, Darron	darron.tate@mitretek.org	703.610.1905	MTS

E.   CURRENT ACTION ITEMS

No.	Action Statement	POC	Start Date	Target Date	Status
004	Define the audit criteria (Web Methods, SAS70, PAG) that will be used to conduct C&A sessions for the FBCA and FBCA OA. 14 January 2003 – This delta report of what is covered by each C&A technique has been deferred until the completion of the FBCA Criteria and Methodology documents.	Tice DeYoung, NASA	08 April 2002 Updated – 14 Jan 2003 Updated – 13 May 2003	13 Jan 2004 FPKIPA meeting	**Open –** reassigned to GSA/FTS, Cheryl Jenkins (as of 14 Jan 2003) and Tice DeYoung (13 May 2003)
031	MOAs for the Cross Certification applicants, DoD, NASA, Treasury and USDA/NFC need to be sent to the FBCA OA in original format with signatures.	IATAC/ FPKIPA Chair	14 Jan 2003 Updated – 13 May 2003	9 Dec 2003 FPKIPA meeting	**Open**

No.	Action Statement	POC	Start Date	Target Date	Status
043	Establish policy to reflect the changing interoperability needs of the multiple membrane members, and forward requested changes to Mr. John Cornell for review before sending out to the working group members.	Tim Polk, NIST	13 May 2003	13 Jan 2004 FPKIPA meeting	**Open**
048	Solicit participants with a real application to do business with Canada.	Judy Spencer, GSA	10 June 2003	13 Jan 2004 FPKIPA meeting	**Open**
050	The State of Illinois MOA should be written to reflect that any changes to their CPS must be forwarded to the FPKIPA and that both the CP and CPS from the State of Illinois were used for the mapping comparison with the FBCA CP.	Tim Polk, NIST	10 June 2003	9 Dec 2003 FPKIPA meeting	**Open**
053	Review FBCA CP to address "verified credentials". This will be done at the upcoming off-site meeting.	CPWG	10 June 2003	Dec 2003 or next CPWG meeting	**Open**
057	Write a short paper that says from here forward the FBCA OA will limit FBCA acceptance testing to systems that demonstrate enhanced assurance through NIAP testing.	Tim Polk, NIST	8 July 2003 Updated – 9 Sept 2003	9 Dec 2003 FPKIPA meeting	**Open**
060	Submit a revised MOA and a proposal for implementation of a new DoD cross certification certificate within 90 days.	Dave Hanko, DoD	9 Sept 2003	9 Dec 2003 FPKIPA meeting	**Open**
061	Incorporate the new FBCA CP Change Proposals (2003-01 through 2003-05) into the FBCA CP, dated 10 September 2002, and forward the resulting FBCA CP to the FPKIPA webmaster for posting to the Federal PKI web sites.	IATAC	9 Sept 2003	31 Dec 2003	**Open**
062	Define the NIAP certification requirement for future bridge membrane applications.	Tim Polk, NIST	9 Sept 2003	9 Dec 2003 FPKIPA meeting	**Open**
066	Develop text for the FPKIPA Charter regarding the sunset clause for voting members of the FPKIPA who are not cross certified members of the FBCA.	Tim Polk, NIST	18 Nov 2003	13 Jan 2003 FPKIPA meeting	**Open**

No.	Action Statement	POC	Start Date	Target Date	Status
067	Develop the Letter of Authorization for Cross Certification for the ACES/DST for FPKIPA signature.	IATAC	18 Nov 2003	9 Dec 2003 FPKIPA meeting	**Open**
068	Compose the Microsoft approval letter for the FPKIPA Chair to sign.	Cheryl Jenkins, GSA	18 Nov 2003	19 Dec 2003	**Open**
069	Develop the Letter of Authorization for Cross Certification for the State of Illinois for FPKIPA signature.	IATAC	18 Nov 2003	9 Dec 2003 FPKIPA meeting	**Open**
070	Determine if NASA will participate in a collaborative effort with the Canadian Space Agency to prove feasibility of applications working between two organizations with PKIs cross-certified with the FBCA.	Tice DeYoung, NASA	18 Nov 2003	31 Dec 2003	**Open**
071	Distribute the DoS Compliance Audit Report information to and solicit any remaining comments from the CPWG before the DoS CP is recommended for approval at the High level of assurance and the DoD PKI for FPKIPA approval for cross certification at the High level of assurance.	IATAC	9 Dec 2003	12 Dec 2003	**Closed, 18 Dec 2003**
072	Update the FPKI Architecture diagram, based on the 9 December 2003 FPKIPA meeting discussion, and distribute it to the FPKIPA voting members for approval via email vote.	Cheryl Jenkins, GSA	9 Dec 2003	12 Dec 2003	**Closed, 10 Dec 2003**